

STIC Database Tracking Number:

To: Kirsten Apple
Location: KNX 04 A89
Art Unit: 3694
Date: 04/22/09
Case Serial Number: 09/915,993

From: Paul Obiniyi
Location: EIC3600
KNX 02 D08-B
Phone: (571) 272-27734
paul.obiniyi@uspto.gov

Search Notes

Dear Examiner Apple:

Please find attached the results of your search for the above-referenced case.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Paul

| | |
|---|----|
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| A. Dialog | 3 |
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I. Potential References of Interest

A. Dialog

16/3,K/16 (Item 1 from file: 810)
DIALOG(R)File 810: Business Wire
(c) 1999 Business Wire . All rights reserved.

0750848 BW1294

VGER TECHNOLOGIES : VGER TECHNOLOGIES SIGNS EXCLUSIVE AGREEMENT WITH SOFTBANK NET SOLUTIONS PERMITTING SECURE EXCHANGE OF INFORMATION IN HEALTHCARE INDUSTRY

September 26, 1997

Byline: Business Editors/Health Writers

...allow
healthcare organizations to implement a low-cost solution to address
the problems of secure **data extraction** and availability from
disparate **legacy systems**.
"As their **markets** evolve, healthcare **organizations**
need practical
alternatives to the constant redesigning and updating of their
information systems infrastructure. By...

16/3,K/17 (Item 2 from file: 810)
DIALOG(R)File 810: Business Wire
(c) 1999 Business Wire . All rights reserved.

0634652 BW1215

COMSHARE : Comshare's decision selected by TEPPCO

October 17, 1996

Byline: Business Editors, Computers & Electronics Writers

...success of the
Comshare software in use.
"Previously, we struggled," says Greg Garrett, TEPPCO's **manager,**
market planning. "**Extracting data** from our
Legacy systems was rather

slow at times. It was difficult getting data out to the users at...

Dialog eLink: [Order File History](#)

16/3K/18 (Item 1 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00755450

METHOD OF SOCIAL NETWORK GENERATION FOR CUSTOMER RELATIONSHIPS PROCEDE POUR GENERER UN RESEAU SOCIAL

Patent Applicant/Patent Assignee:

- **INNOVATIVE SYSTEMS INC**
790 Holiday Drive, Pittsburgh, PA 15208; US; US(Residence); US(Nationality); (For all designated states except: US)

Patent Applicant/Inventor:

- **COLONNA Robert J**
505 Edgerton Place, Pittsburgh, PA 15208; US; US(Residence); US(Nationality); (Designated only for: US)

Legal Representative:

- **IWANEJKO Gerald J Jr(agent)**
Cohen & Grigsby, P.C., 15th floor, 11 Stanwix Street, Pittsburgh, PA 15222; US;

| | Country | Number | Kind | Date |
|-------------|---------|-------------|-------|----------|
| Patent | WO | 200068860 | A2-A3 | 20001116 |
| Application | WO | 2000US13132 | | 20000512 |
| Priorities | US | 99134018 | | 19990512 |

Designated States: (Protection type is "Patent" unless otherwise stated - for applications prior to 2004)
AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR,

Language Publication Language: English

Filing Language: English

Fulltext word count: 18565

Detailed Description:

...the legacy systems is staged into a relational database for further processing. This data is **organized** by **account** number.

29

Step 1 E. Load Client (**Data**)*

Contact **data extracted** from the **legacy systems** is staged into a relational database for further processing. See the following sample tables.

** EIC-Searcher identified “potential references of interest” are selected based on the terms/concepts provided in the examiner’s search request.*

II. Inventor Search Results from Dialog

11/3,K/3 (Item 1 from file: 88)

DIALOG(R)File 88: Gale Group Business A.R.T.S.

(c) 2009 Gale/Cengage. All rights reserved.

04727055 **Supplier Number:** 20423344

Toward a positive economic theory of hedging.

Collins, Robert A.

American Journal of Agricultural Economics , v79 , n2 , p488(12)

May , 1997

ISSN: 0002-9092

Language: English **Record Type:** Fulltext; Abstract

Word Count: 8869 **Line Count:** 00698

Collins, Robert A.

...to hedge is positively related to both price volatility and the firm's use of **financial** leverage. This **evaluation** of the evidence about actual hedging behavior is consistent with Brorsen's evaluation of the...Baker

A great deal of innovative and useful work in the general area of integrating **financial management** and marketing has been done by Turvey and Baker (1989, 1990). They were the first...

...a financial model. More specifically, they have written several papers exploring the general relationship between **financial management** and marketing decisions. In their 1990 paper, they used discrete stochastic programming to examine the...to provide the potential for producing a model that predicts what we observe. Agents use **futures** to **manage** risk. When ambient risk levels are small enough to ignore, they do not hedge. However...Agr. Econ. 37(December 1989):629-38.

Turvey, C., and T. Baker. "A Farm-Level **Financial Analysis** of Farmers' Use of Futures and Options under Alternative Farm Programs." Amer. J. Agr. Econ...

?

III. Text Search Results from Dialog

A. Full-Text Databases

? show files

File 9:Business & Industry(R) Jul/1994-2009/Apr 18

(c) 2009 Gale/Cengage

File 15:ABI/Inform(R) 1971-2009/Apr 18

(c) 2009 ProQuest Info&Learning

File 16:Gale Group PROMT(R) 1990-2009/Mar 31

(c) 2009 Gale/Cengage

File 20:Dialog Global Reporter 1997-2009/Apr 21

(c) 2009 Dialog
 File 47:Gale Group Magazine DB(TM) 1959-2009/Apr 10
 (c) 2009 Gale/Cengage
 File 75:TGG Management Contents(R) 86-2009/Mar W3
 (c) 2009 Gale/Cengage
 File 80:TGG Aerospace/Def.Mkts(R) 1982-2009/Mar 27
 (c) 2009 Gale/Cengage
 File 88:Gale Group Business A.R.T.S. 1976-2009/Apr 17
 (c) 2009 Gale/Cengage
 File 98:General Sci Abs 1984-2009/Apr
 (c) 2009 The HW Wilson Co.
 File 112:UBM Industry News 1998-2004/Jan 27
 (c) 2004 United Business Media
 File 141:READERS GUIDE 1983-2009/MAR
 (c) 2009 THE HW WILSON CO
 File 148:Gale Group Trade & Industry DB 1976-2009/Apr 06
 (c) 2009 Gale/Cengage
 File 160:Gale Group PROMT(R) 1972-1989
 (c) 1999 The Gale Group
 File 275:Gale Group Computer DB(TM) 1983-2009/Mar 25
 (c) 2009 Gale/Cengage
 File 264:DIALOG Defense Newsletters 1989-2009/Apr 17
 (c) 2009 Dialog
 File 369:New Scientist 1994-2009/Apr W2
 (c) 2009 Reed Business Information Ltd.
 File 370:Science 1996-1999/Jul W3
 (c) 1999 AAAS
 File 484:Periodical Abs Plustext 1986-2009/Apr W2
 (c) 2009 ProQuest
 File 553:Wilson Bus. Abs. 1982-2009/Apr
 (c) 2009 The HW Wilson Co
 File 570:Gale Group MARS(R) 1984-2009/Mar 30
 (c) 2009 Gale/Cengage
 File 608:MCT Information Svc. 1992-2009/Apr 21
 (c) 2009 MCT Information Svc.
 File 620:EIU:Viewswire 2009/Apr 18
 (c) 2009 Economist Intelligence Unit
 File 613:PR Newswire 1999-2009/Apr 21
 (c) 2009 PR Newswire Association Inc
 File 621:Gale Group New Prod.Annou.(R) 1985-2009/Mar 16
 (c) 2009 Gale/Cengage
 File 623:Business Week 1985-2009/Apr 21
 (c) 2009 The McGraw-Hill Companies Inc
 File 624:McGraw-Hill Publications 1985-2009/Apr 21
 (c) 2009 McGraw-Hill Co. Inc
 File 634:San Jose Mercury Jun 1985-2009/Apr 17
 (c) 2009 San Jose Mercury News
 File 635:Business Dateline(R) 1985-2009/Apr 21
 (c) 2009 ProQuest Info&Learning
 File 636:Gale Group Newsletter DB(TM) 1987-2009/Mar 30
 (c) 2009 Gale/Cengage
 File 647:UBM Computer Fulltext 1988-2009/Feb W3
 (c) 2009 UBM, LLC
 File 696:DIALOG Telecom. Newsletters 1995-2009/Apr 08
 (c) 2009 Dialog
 File 674:Computer News Fulltext 1989-2006/Sep W1
 (c) 2006 IDG Communications
 File 810:Business Wire 1986-1999/Feb 28
 (c) 1999 Business Wire
 File 813:PR Newswire 1987-1999/Apr 30
 (c) 1999 PR Newswire Association Inc
 File 587:Jane's Defense&Aerospace 2009/Mar W3
 (c) 2009 Jane's Information Group

File 348:EUROPEAN PATENTS 1978-200916
 (c) 2009 European Patent Office
 File 349:PCT FULLTEXT 1979-2009/UB=20090416|UT=20090409
 (c) 2009 WIPO/Thomson

? ds

| Set | Items | Description |
|-----|---------|---|
| S1 | 6348677 | (SAVING OR DEPOSIT??? OR INVESTMENT? ? OR INVESTING OR INVEST OR OPTION? ? OR FUTURE? ? OR STOCK? ? OR BOND? ? OR SHARE? ? OR MARKET? ? OR TRADE?? OR TRADING) (3N) (MANAGEMENT OR MANAG??? OR SUPERVIS??? OR REGULAT??? OR SUPERINTEND? OR ORGANIZ? OR ORGANIS? OR PROCESS?) |
| S2 | 5083630 | (FINANCIAL? OR FISCAL? OR MONETARY OR BUDGET??? OR ACCOUNT? OR FUND) (3N) (MANAGEMENT OR MANAG??? OR SUPERVIS??? OR REGULAT??? OR SUPERINTEND? OR ORGANIZ? OR ORGANIS? OR CONTROL? OR - PROCESS?) |
| S3 | 1146525 | (STOCK? ? OR BOND? ? OR PORTFOLIO? ? OR SHARE? ? OR SECURITIES OR COMMODITIES OR FINANCIAL) (3N) (ASSESS? OR EVALUAT? OR - MONITOR? OR VERIF? OR ANALYZING OR ANALYSING OR ANALYSIS) |
| S4 | 1073426 | STANDALONE OR STAND()ALONE OR (SEPARATE OR DISTINCT OR LEGACY) () (SYSTEM? ? OR APPLICATION OR DEVICE OR SOFTWARE OR PROGRAM?) |
| S5 | 5312463 | (PULL OR CAPTUR??? OR GET? ? OR GETTING OR RECEIV??? OR EXTRACT??? OR RETRIEV??? OR OBTAIN???) (3N) (DATA OR INFO OR INFORMATION OR CONTENT OR STATISTIC??) |
| S6 | 4131913 | (AGGREGATING OR AGGREGATE? ? OR CUMULAT? OR COMBIN? OR MERG? OR GROUP? OR MIX? OR POOL?) (3N) (TRAD??? OR STOCK? ? OR INVEST? OR BOND? ? OR COMMODIT??? OR FUTURES OR MONEY OR SECURIT??? OR BOND? ? OR SHARE? ?) |
| S7 | 12161 | (AGGREGATING OR AGGREGATE? ?) (3N) SECUR? |
| S8 | 15381 | AU=(STEWART, R? OR STEWART R? OR STEWART(2N)R? OR COLLINS, R? OR COLLINS R? OR COLLINS(2N)R?) |
| S9 | 416 | S8 AND S1 |
| S10 | 55 | S9 AND S2 |
| S11 | 3 | S10 AND S3 |
| S12 | 3487 | S5(7N) S6 OR S7) |
| S13 | 0 | S12(7N) S4 |
| S14 | 4295 | S4(7N) S5 |
| S15 | 37 | S14(7N) (S1:S3) |
| S16 | 18 | S15 NOT PY>2000 |
| S17 | 2751 | (S1:S3) (3N) S4 |
| S18 | 10 | S17(3N) S5 |
| S19 | 5 | S18 NOT PY>2000 |
| S20 | 0 | S17(3N) S7 |
| S21 | 53 | S17(3N) S6 |
| S22 | 24 | S21 NOT PY>2000 |
| S23 | 29 | S19 OR S22 |

?

16/3,K/1 (Item 1 from file: 16)
 DIALOG(R)File 16: Gale Group PROMT(R)
 (c) 2009 Gale/Cengage. All rights reserved.

08603009 **Supplier Number: 70028416 (USE FORMAT 7 FOR FULLTEXT)**

Cash Management.(Internet/Web/Online Service Information)
 Bank Systems + Technology , p 7

Jan , 1998

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 2071

-
...Bank Relationship Manager
Compaq, DEC VAX, Dell, Hewlett-Packard, IBM PCs, LANs, NEC, Novell
Network, **Standalone** PCs, Windows, Windows NT
Bank Relationship **Manager receives account**
analysis **data** electronically (or manually) from your bank, then
verifies computations, checks for expected balance, price, and...

16/3,K/2 (Item 2 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

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07383734 **Supplier Number:** 61414677 (USE FORMAT 7 FOR FULLTEXT)

Cash Management.

Bank Systems + Technology , p 7

Annual , 1998

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 2457

-
...Bank Relationship Manager
Compaq, DEC VAX, Dell, Hewlett-Packard, IBM PCs, LANs, NEC, Novell
Network, **Standalone** PCs, Windows, Windows NT
Bank Relationship **Manager receives account**
analysis **data** electronically (or manually) from your bank, then
verifies computations, checks for expected balance, price, and...

16/3,K/3 (Item 3 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

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05253292 **Supplier Number:** 48006142 (USE FORMAT 7 FOR FULLTEXT)

**VGER TECHNOLOGIES SIGNS EXCLUSIVE AGREEMENT WITH SOFTBANK NET
SOLUTIONS PERMITTING SECURE EXCHANGE OF INFORMATION IN HEALTHCARE
INDUSTRY.**

Business Wire , p 09261294

Sept 26 , 1997

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 771

...allow healthcare organizations to implement a low-cost solution to address the problems of secure **data extraction** and availability from disparate **legacy systems**.

"As their **markets** evolve, healthcare **organizations** need practical alternatives to the constant redesigning and updating of their information systems infrastructure. By...

16/3,K/4 (Item 4 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

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04627430 **Supplier Number:** 46807331 (USE FORMAT 7 FOR FULLTEXT)

Comshare's decision selected by TEPPCO.

Business Wire , p 10171215

Oct 17 , 1996

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 401

...the success of the Comshare software in use.

"Previously, we struggled," says Greg Garrett, TEPPCO's **manager** , **market** planning. "**Extracting data** from our

Legacy systems was rather slow at times. It was difficult getting data out to the users at...

16/3,K/5 (Item 5 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

(c) 2009 Gale/Cengage. All rights reserved.

02290774 **Supplier Number:** 42996525 (USE FORMAT 7 FOR FULLTEXT)

TECHNOLOGY STRATEGIES: RXR GROUP CHANGES OFFICES, MIGRATES TO NEW PLATFORM, NEW PORTFOLIO SYSTEM

Investment Management Technology , v 1 , n 17 , p N/A

May 15 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 852

...Next Step

In addition to hardcopy portfolio management information generated by ATIS, the firm's **managers** and **traders receive market data** via **stand-alone** terminals. At the moment, the firm is receiving Reuters' Money 2000 service via Reuter Terminals...

16/3,K/6 (Item 6 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

(c) 2009 Gale/Cengage. All rights reserved.

02133415 **Supplier Number:** 42768619 (USE FORMAT 7 FOR FULLTEXT)

TECHNOLOGY STRATEGIES: CAPITAL GROUP SETS SIGHTS ON FULLY NETWORKED, IN-HOUSE MUTUAL FUND & TRUST SYSTEM

Investment Management Technology, v 1, n 11, p N/A

Feb 21, 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 842

...applications running on the microprocessors because the system lacks the software and network capabilities necessary.

Traders and **managers receive** real-time **market data** via **stand-alone** terminals from a number of vendors, including Bloomberg L.P. and Quotron Systems Inc. But...

16/3,K/7 (Item 1 from file: 47)

DIALOG(R)File 47: Gale Group Magazine DB(TM)

(c) 2009 Gale/Cengage. All rights reserved.

05365832 **Supplier Number:** 54623284 (USE FORMAT 7 OR 9 FOR FULL TEXT)

New Welfare Regs Give Flexibility to States, Challenge Cities.(public welfare reform regulations, to become effective October 1, 1999)(includes related information on specific reform issues)

Otero, Juan

Nation's Cities Weekly, 22, 17, 14(1)

April 26, 1999

ISSN: 0164-5935

Language: English **Record Type:** Fulltext

Word Count: 1380 **Line Count:** 00115

...use the caseload reduction credit or compete for the high performance bonus, states must submit **data** on those families **receiving** assistance under the **separate program**.

Maintenance of Effort

The **regulation** ensures states **invest** in families moving

from welfare to work by enforcing the law's requirements that states...

16/3,K/8 (Item 1 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2009 Gale/Cengage. All rights reserved.

11033463 **Supplier Number:** 54623284 (USE FORMAT 7 OR 9 FOR FULL TEXT)

New Welfare Regs Give Flexibility to States, Challenge Cities.(public welfare reform regulations, to become effective October 1, 1999)(includes related information on specific reform issues)

Otero, Juan

Nation's Cities Weekly , 22 , 17 , 14(1)

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ISSN: 0164-5935

Language: English

Record Type: Fulltext

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The **regulation** ensures states **invest** in families moving from welfare to work by enforcing the law's requirements that states...

16/3,K/9 (Item 2 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2009 Gale/Cengage. All rights reserved.

09755016 **Supplier Number:** 19797749 (USE FORMAT 7 OR 9 FOR FULL TEXT)

VGER TECHNOLOGIES SIGNS EXCLUSIVE AGREEMENT WITH SOFTBANK NET SOLUTIONS PERMITTING SECURE EXCHANGE OF INFORMATION IN HEALTHCARE INDUSTRY.

Business Wire , p9261294

Sep 26 , 1997

Language: English

Record Type: Fulltext

Word Count: 830 **Line Count:** 00079

...allow healthcare organizations to implement a low-cost solution to address the problems of secure **data extraction** and availability from disparate **legacy systems**.

"As their **markets** evolve, healthcare **organizations** need practical alternatives to the constant redesigning and updating of their information systems infrastructure. By...

16/3,K/11 (Item 2 from file: 621)
DIALOG(R)File 621: Gale Group New Prod.Annou.(R)
(c) 2009 Gale/Cengage. All rights reserved.

01440119 **Supplier Number:** 46807331 (USE FORMAT 7 FOR FULLTEXT)
Comshare's decision selected by TEPPCO.

Business Wire , p 10171215
Oct 17 , 1996

Language: English **Record Type:** Fulltext
Document Type: Newswire ; Trade
Word Count: 401

-
...the success of the Comshare software in use.
"Previously, we struggled," says Greg Garrett, TEPPCO's **manager**
, **market planning**. "**Extracting data** from our
Legacy systems was rather slow at times. It was difficult
getting data out to the users at...

16/3,K/13 (Item 2 from file: 636)
DIALOG(R)File 636: Gale Group Newsletter DB(TM)
(c) 2009 Gale/Cengage. All rights reserved.

01789555 **Supplier Number:** 42996525 (USE FORMAT 7 FOR FULLTEXT)

**TECHNOLOGY STRATEGIES: RXR GROUP CHANGES OFFICES, MIGRATES TO NEW
PLATFORM, NEW PORTFOLIO SYSTEM**

Investment Management Technology , v 1 , n 17 , p N/A
May 15 , 1992

Language: English **Record Type:** Fulltext
Document Type: Magazine/Journal ; Trade
Word Count: 852

-
...Next Step
In addition to hardcopy portfolio management information generated by
ATIS, the firm's **managers** and **traders receive**
market data via **stand-alone** terminals. At the
moment, the firm is receiving Reuters' Money 2000 service via Reuter
Terminals...

16/3,K/14 (Item 3 from file: 636)
DIALOG(R)File 636: Gale Group Newsletter DB(TM)
(c) 2009 Gale/Cengage. All rights reserved.

01710909 **Supplier Number:** 42768619 (USE FORMAT 7 FOR FULLTEXT)

TECHNOLOGY STRATEGIES: CAPITAL GROUP SETS SIGHTS ON FULLY NETWORKED, IN-HOUSE MUTUAL FUND & TRUST SYSTEM

Investment Management Technology , v 1 , n 11 , p N/A

Feb 21 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 842

-
...applications running on the microprocessors because the system lacks the software and network capabilities necessary.

Traders and managers receive real-time
market data via **stand-alone** terminals from a
number of vendors, including Bloomberg L.P. and Quotron Systems Inc. But...

16/3,K/15 (Item 4 from file: 636)

DIALOG(R)File 636: Gale Group Newsletter DB(TM)

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01673426 **Supplier Number:** 42659423 (USE FORMAT 7 FOR FULLTEXT)

LEAD STORY #2: OPPENHEIMER CAPITAL PORTS NIDS TO UNIX FOR WRAP FEES

Investment Management Technology , v 1 , n 8 , p N/A

Jan 10 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 789

-
...IBM-compatible 286 and 386 PCs running Data General terminal emulation software. Oppenheimer's money **managers receive market**

data via **stand-alone** services from Reuters Holdings
PLC, Bloomberg L.P. and Dow Jones & Co.'s Telerate Systems...

16/3,K/16 (Item 1 from file: 810)

DIALOG(R)File 810: Business Wire

(c) 1999 Business Wire . All rights reserved.

0750848 BW1294

VGER TECHNOLOGIES : VGER TECHNOLOGIES SIGNS EXCLUSIVE AGREEMENT

WITH SOFTBANK NET SOLUTIONS PERMITTING SECURE EXCHANGE OF INFORMATION IN HEALTHCARE INDUSTRY

September 26, 1997

Byline: Business Editors/Health Writers

...allow
healthcare organizations to implement a low-cost solution to address
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"As their **markets** evolve, healthcare **organizations**
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16/3,K/17 (Item 2 from file: 810)
DIALOG(R)File 810: Business Wire
(c) 1999 Business Wire . All rights reserved.

0634652 BW1215

COMSHARE : Comshare's decision selected by TEPPCO

October 17, 1996

Byline: Business Editors, Computers & Electronics Writers

...success of the
Comshare software in use.

"Previously, we struggled," says Greg Garrett, TEPPCO's **manager**,
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slow at times. It was difficult getting data out to the users at...

Dialog eLink: [Order File History](#)

16/3K/18 (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00755450

METHOD OF SOCIAL NETWORK GENERATION FOR CUSTOMER RELATIONSHIPS PROCEDE POUR GENERER UN RESEAU SOCIAL

Patent Applicant/Patent Assignee:

- **INNOVATIVE SYSTEMS INC**
790 Holiday Drive, Pittsburgh, PA 15208; US; US(Residence); US(Nationality); (For all designated states except: US)

Patent Applicant/Inventor:

- **COLONNA Robert J**
505 Edgerton Place, Pittsburgh, PA 15208; US; US(Residence); US(Nationality); (Designated only for: US)

Legal Representative:

- **IWANEJKO Gerald J Jr(agent)**
Cohen & Grigsby, P.C., 15th floor, 11 Stanwix Street, Pittsburgh, PA 15222; US;

| | Country | Number | Kind | Date |
|-------------|---------|-------------|-------|----------|
| Patent | WO | 200068860 | A2-A3 | 20001116 |
| Application | WO | 2000US13132 | | 20000512 |
| Priorities | US | 99134018 | | 19990512 |

Designated States: (Protection type is "Patent" unless otherwise stated - for applications prior to 2004)
AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR,

Language Publication Language: English

Filing Language: English

Fulltext word count: 18565

Detailed Description:

...the legacy systems is staged into a relational database for further processing. This data is **organized** by **account** number.

29

Step 1 E. Load Client (**Data**)*

Contact **data extracted** from the **legacy systems** is staged into a relational database for further processing. See the following sample tables.

*NOTE...

t/3,k/all

23/3,K/1 (Item 1 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
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01260554 99-09950
Do managed futures make good investments?

Edwards, Franklin R; Park, James M
Journal of Futures Markets v16n5 pp: 475-517
Aug 1996
ISSN: 0270-7314 Journal Code: JFU

Abstract:
...commodity funds. The data consist of the monthly returns of 596 registered CTAs, 292 private **commodity pools**, and 361 public **commodity funds**. **Managed futures as stand-alone** investments and portfolio assets in diversified portfolios are discussed. An analysis is then made to...

23/3,K/2 (Item 2 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
(c) 2009 ProQuest Info&Learning. All rights reserved.

00409912 88-26745
Networking: Linking Engineering Workstations

Woods, Richard J.
CAE v7n6 pp: 64-72
Jun 1988
ISSN: 0733-3536 Journal Code: CAE

Abstract:
...for engineers and their managers through the use of standalone workstations are being solved by **combining** the benefits of **shared** systems resources and **management** with **standalone** operation. The typical standalone workstation has a 32-bit processor, main memory of 2-6...

23/3,K/7 (Item 5 from file: 16)
DIALOG(R)File 16: Gale Group PROMT(R)
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02290774 **Supplier Number: 42996525 (USE FORMAT 7 FOR FULLTEXT)**

TECHNOLOGY STRATEGIES: RXR GROUP CHANGES OFFICES, MIGRATES TO NEW PLATFORM, NEW PORTFOLIO SYSTEM

Investment Management Technology , v 1 , n 17 , p N/A

May 15 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 852

-
...Next Step

In addition to hardcopy portfolio management information generated by ATIS, the firm's **managers** and **traders receive market data** via **stand-alone** terminals. At the moment, the firm is receiving Reuters' Money 2000 service via Reuter Terminals...

23/3,K/8 (Item 6 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

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02133415 **Supplier Number:** 42768619 (USE FORMAT 7 FOR FULLTEXT)

TECHNOLOGY STRATEGIES: CAPITAL GROUP SETS SIGHTS ON FULLY NETWORKED, IN-HOUSE MUTUAL FUND & TRUST SYSTEM

Investment Management Technology , v 1 , n 11 , p N/A

Feb 21 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 842

-
...applications running on the microprocessors because the system lacks the software and network capabilities necessary.

Traders and **managers receive** real-time **market data** via **stand-alone** terminals from a number of vendors, including Bloomberg L.P. and Quotron Systems Inc. But...

23/3,K/14 (Item 6 from file: 20)

DIALOG(R)File 20: Dialog Global Reporter

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10199279 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Alliance Unichem profits up sharply; to set up standalone e-business unit

AFX EUROPE

March 22, 2000

Journal Code: WAXE **Language:** English **Record Type:** FULLTEXT

Word Count: 454

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...regulatory authorities to contain healthcare costs," Harris said.

Alliance Unichem has set up a new **standalone** company, with independent **management**, to coordinate **group investments** in e-business.

During the last year the group added to its portfolio of technology...

23/3,K/16 (Item 8 from file: 20)

DIALOG(R)File 20: Dialog Global Reporter

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04466198 **(USE FORMAT 7 OR 9 FOR FULLTEXT)**

Fortune deal may unearth value at Dundee Bancorp: Investors applaud move: Taking public money management unit would pay dividend

SUSAN HEINRICH

FINANCIAL POST , p 03

February 27, 1999

Journal Code: FFP **Language:** English **Record Type:** FULLTEXT

Word Count: 707

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...through, that value will likely be realized.

Dundee has said it would form a separate **stand-alone mutual fund** and **investment management** company by **combining** Fortune Financial and Infinity Mutual Funds with Dundee's assets management businesses. That division would...

23/3,K/17 (Item 1 from file: 47)

DIALOG(R)File 47: Gale Group Magazine DB(TM)

(c) 2009 Gale/Cengage. All rights reserved.

04457667 **Supplier Number:** 18115293 **(USE FORMAT 7 OR 9 FOR FULL TEXT)**

Essential E-mail: find the right way to keep your company posted. (Microsoft Exchange, Lotus Notes Mail and Novell GroupWise 4.1)(includes related product-features information about alternatives for basic messaging needs) (Software Review)(Evaluation)

Lyon, Jack

PC/Computing , v9 , n4 , p153(9)

April , 1996

Document Type: Evaluation

ISSN: 0899-1847

Language: English **Record Type:** Fulltext; Abstract

Word Count: 3892 **Line Count:** 00304

...800) 426-9400 /Free download from Microsoft Network

Groupware
If you need complete information sharing, **groupware** offers
group scheduling, **shared** databases, and project
management. Like **stand-alone** e-mail packages,
groupware applications such as Lotus's Notes let you send messages inside
...

23/3,K/22 (Item 1 from file: 275)
DIALOG(R)File 275: Gale Group Computer DB(TM)
(c) 2009 Gale/Cengage. All rights reserved.

01914830 **Supplier Number: 18115293 (Use Format 7 Or 9 For FULL TEXT)**
Essential E-mail: find the right way to keep your company posted. (Microsoft Exchange, Lotus Notes Mail and Novell GroupWise 4.1)(includes related product-features information about alternatives for basic messaging needs) (Software Review)(Evaluation)

Lyon, Jack
PC/Computing , v9 , n4 , p153(9)
April , 1996

Document Type: Evaluation

ISSN: 0899-1847

Language: English **Record Type:** Fulltext; Abstract

Word Count: 3892 **Line Count:** 00304

...800) 426-9400 /Free download from Microsoft Network

Groupware
If you need complete information sharing, **groupware** offers
group scheduling, **shared** databases, and project
management. Like **stand-alone** e-mail packages,
groupware applications such as Lotus's Notes let you send messages inside
...

23/3,K/24 (Item 2 from file: 621)
DIALOG(R)File 621: Gale Group New Prod.Annou.(R)
(c) 2009 Gale/Cengage. All rights reserved.

02757796 **Supplier Number: 68013569 (USE FORMAT 7 FOR FULLTEXT)**
ANT's software.com Schedules an External Validation of Its Test Results.

Business Wire , p 0326
Dec 14 , 2000

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 424

-

...an enabling middleware technology that is being developed to readily
interact with applications such as **stand-alone** credit card
processing, **trading pool**, bank **processing** and
inventory systems, as well as more comprehensive ERP, e-commerce, and B2B

systems. The...

23/3,K/25 (Item 3 from file: 621)

DIALOG(R)File 621: Gale Group New Prod.Annou.(R)

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02754225 **Supplier Number:** 67926139 (USE FORMAT 7 FOR FULLTEXT)

ANTs software.com Announces Changes in Executive Management and Board of Directors.

Business Wire , p 0613

Dec 12 , 2000

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 344

-

...an enabling middleware technology that is being developed to readily interact with applications such as **stand-alone** credit card **processing**, **trading pool**, bank **processing** and inventory systems, as well as more comprehensive ERP, e-commerce, and B2B systems. The...

23/3,K/26 (Item 4 from file: 621)

DIALOG(R)File 621: Gale Group New Prod.Annou.(R)

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02734499 **Supplier Number:** 67398954 (USE FORMAT 7 FOR FULLTEXT)

ANTs software.com Reports Second Quarter Fiscal Year 2001 Results.

Business Wire , p 0731

Nov 28 , 2000

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 935

-

...an enabling middleware technology that is being developed to readily interact with applications such as **stand-alone** credit card **processing**, **trading pool**, bank **processing** and inventory systems, as well as more comprehensive ERP, e-commerce, and B2B systems. The...

23/3,K/27 (Item 1 from file: 636)

DIALOG(R)File 636: Gale Group Newsletter DB(TM)

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01789555 **Supplier Number:** 42996525 (USE FORMAT 7 FOR FULLTEXT)

TECHNOLOGY STRATEGIES: RXR GROUP CHANGES OFFICES, MIGRATES TO NEW

PLATFORM, NEW PORTFOLIO SYSTEM

Investment Management Technology , v 1 , n 17 , p N/A

May 15 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 852

-

...Next Step

In addition to hardcopy portfolio management information generated by ATIS, the firm's **managers** and **traders receive market data** via **stand-alone** terminals. At the moment, the firm is receiving Reuters' Money 2000 service via Reuter Terminals...

23/3,K/28 (Item 2 from file: 636)

DIALOG(R)File 636: Gale Group Newsletter DB(TM)

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01710909 **Supplier Number:** 42768619 (USE FORMAT 7 FOR FULLTEXT)

TECHNOLOGY STRATEGIES: CAPITAL GROUP SETS SIGHTS ON FULLY NETWORKED, IN-HOUSE MUTUAL FUND & TRUST SYSTEM

Investment Management Technology , v 1 , n 11 , p N/A

Feb 21 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 842

-

...applications running on the microprocessors because the system lacks the software and network capabilities necessary.

Traders and **managers receive** real-time **market data** via **stand-alone** terminals from a number of vendors, including Bloomberg L.P. and Quotron Systems Inc. But...

23/3,K/29 (Item 3 from file: 636)

DIALOG(R)File 636: Gale Group Newsletter DB(TM)

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01673426 **Supplier Number:** 42659423 (USE FORMAT 7 FOR FULLTEXT)

LEAD STORY #2: OPPENHEIMER CAPITAL PORTS NIDS TO UNIX FOR WRAP FEES

Investment Management Technology , v 1 , n 8 , p N/A

Jan 10 , 1992

Language: English **Record Type:** Fulltext

Document Type: Magazine/Journal ; Trade

Word Count: 789

...IBM-compatible 286 and 386 PCs running Data General terminal emulation software. Oppenheimer's money **managers receive market data** via **stand-alone** services from Reuters Holdings PLC, Bloomberg L.P. and Dow Jones & Co.'s Telerate Systems...

IV. Text Search Results from Dialog

A. Abstract Databases

? show files

File 35:Dissertation Abs Online 1861-2009/Mar
(c) 2009 ProQuest Info&Learning
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 Gale/Cengage
File 65:Inside Conferences 1993-2009/Apr 20
(c) 2009 BLDSC all rts. reserv.
File 2:INSPEC 1898-2009/Apr W1
(c) 2009 Institution of Electrical Engineers
File 144:Pascal 1973-2009/Apr W3
(c) 2009 INIST/CHRS
File 474:New York Times Abs 1969-2009/Apr 20
(c) 2009 The New York Times
File 475:Wall Street Journal Abs 1973-2009/Apr 22
(c) 2009 The New York Times
File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Feb
(c) 2009 The HW Wilson Co.
File 344:Chinese Patents Abs Jan 1985-2006/Jan
(c) 2006 European Patent Office
File 347:JAPIO Dec 1976-2008/Oct(Updated 090220)
(c) 2009 JPO & JAPIO
File 350:Derwent WPIX 1963-2009/UD=200922
(c) 2009 Thomson Reuters

? ds

| Set | Items | Description |
|-----|---------|--|
| S1 | 262209 | (SAVING OR DEPOSIT??? OR INVESTMENT? ? OR INVESTING OR INVEST OR OPTION? ? OR FUTURE? ? OR STOCK? ? OR BOND? ? OR SHARE? ? OR MARKET? ? OR TRADE? ? OR TRADING) (3N) (MANAGEMENT OR MANAG??? OR SUPERVIS??? OR REGULAT??? OR SUPERINTEND? OR ORGANIZ? OR ORGANIS? OR PROCESS?) |
| S2 | 129060 | (FINANCIAL? OR FISCAL? OR MONETARY OR BUDGET??? OR ACCOUNT? OR FUND) (3N) (MANAGEMENT OR MANAG??? OR SUPERVIS??? OR REGULAT??? OR SUPERINTEND? OR ORGANIZ? OR ORGANIS? OR CONTROL? OR - PROCESS?) |
| S3 | 33271 | (STOCK? ? OR BOND? ? OR PORTFOLIO? ? OR SHARE? ? OR SECURITIES OR COMMODITIES OR FINANCIAL) (3N) (ASSESS? OR EVALUAT? OR - MONITOR? OR VERIF? OR ANALYZING OR ANALYSING OR ANALYSIS) |
| S4 | 44716 | STANDALONE OR STAND()ALONE OR (SEPARATE OR DISTINCT OR LEGACY) (SYSTEM? ? OR APPLICATION OR DEVICE OR SOFTWARE OR PROGRAM?) |
| S5 | 1361821 | (PULL OR CAPTUR??? OR GET? ? OR GETTING OR RECEIV??? OR EXTRACT??? OR RETRIEV??? OR OBTAIN???) (3N) (DATA OR INFO OR INF- |

FORMATION OR CONTENT OR STATISTIC??)
 S6 194814 (AGGREGATING OR AGGREGATE? ? OR CUMULAT? OR COMBIN? OR MERG? OR GROUP? OR MIX? OR POOL?) (3N) (TRAD??? OR STOCK? ? OR INVEST? OR BOND? ? OR COMMODIT??? OR FUTURES OR MONEY OR SECURIT??? OR BOND? ? OR SHARE? ?)
 S7 261 (AGGREGATING OR AGGREGATE? ?) (3N) SECUR?
 S8 11487 AU=(STEWART, R? OR STEWART R? OR STEWART(2N)R? OR COLLINS, R? OR COLLINS R? OR COLLINS(2N)R?)
 S9 91 S8 AND S1
 S10 0 S9 AND S2
 S11 0 S9 AND S3
 S12 21 S8 AND S6
 S13 0 S12 AND S7
 S14 11749 S1 AND S2
 S15 489 S14 AND S3
 S16 5 S15 AND S4
 S17 78 S15 AND S5
 S18 9 S17 AND S6
 S19 0 S17 AND S7
 S20 3 S12 AND S1
 S21 14 S16 OR S18
 ?

t/3,k/all

21/3,K/1 (Item 1 from file: 35)
 DIALOG(R)File 35: Dissertation Abs Online
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02192337 ORDER NO: AADAA-INR20254

Three essays on the valuation of embedded derivatives in financial contracts

Author: Drira, Karim

Degree: Ph.D.

Year: 2006

Corporate Source/Institution: Universite de Montreal (Canada) (0992)

Source: Volume 6712A of Dissertations Abstracts International.

PAGE 4638 . 151 PAGES

ISBN: 978-0-494-20254-8

...all these markets. As a result, derivatives have become increasingly important as a means of **managing** and mitigating the **financial** risks created by these volatilities. The latest estimates from Bank of International Settlements (2004) suggest... ..customized-instruments whose risk-return characteristics closely meet their individual needs. Along with all these **stand-alone** derivative contracts, many derivatives are bundled with more standard financial contracts (a host or base... ..the conversion option price. Numerical results provide evidence of the convergence and accuracy of the **evaluation** of convertible **bonds**.

Besides the bonds, many commodity contracts are bundled with special provisions. In particular, the base... ..to few market players, has undergone structural changes during the last decade. In the newly **organized** power **markets**, the electricity contracts are both traded physically and financially. In contrast with other energy commodity...

Dialog eLink:

ISPTO Full Text Retrieval Options

21/3,K/2 (Item 1 from file: 2)

DIALOG(R)File 2: INSPEC

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09333844

Title: BI's progression [business intelligence]

Journal: Information Age p. 12-13

Publisher: Infoconomy .

Publication Date: 2004 **Country of Publication:** UK

CODEN: IAGEDX **ISSN:** 1359-4214

Material Identity Number: D480-2004-008

Language: English

Subfile: D

Copyright 2005, IEE

Abstract: ...or four years ago. Up until the turn of the decade, demand was typically for **standalone** applications and tools that supported specialist functions - **financial controllers analysing** company performance, inventory **managers digging into stock** turnover, marketing specialists mining for high value customers, and so on. The prediction by some...

Identifiers: ...**standalone** applications... ...**financial controller**;

Astronomical Objects:

21/3,K/3 (Item 1 from file: 144)

DIALOG(R)File 144: Pascal

(c) 2009 INIST/CNRS. All rights reserved.

13249915 PASCAL No.: 97-0519913

Successful implementation of energy price risk management
1997 APPEA conference : Melbourne, 13-16 April 1997

SIMSON H A

Rothschild Australia Limited, Level 10 1 Collins Street, Melbourne
Victoria 3000, Australia

Australian Petroleum Production and Exploration Association Limited,
Sydney, Australia.

Australian Petroleum Production and Exploration Association conference (
Melbourne AUS) 1997-04-13

Journal: APPEA journal, 1997

, 37 (p.1) 668-671

Language: English

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...program status, compliance with policy and procedures and avoidance of
surprise outcomes rather than simply **stand alone**
profitability of hedging transactions.

English Descriptors: Oil economy; Petroleum; Price; Risk **analysis**;

Dialog eLink: [Order File History](#)

21/3,K/4 (Item 1 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0016866835 *Drawing available*

WPI Acc no: 2007-581896/200756

XRPX Acc No: N2007-448697

Determination method of amount of investor money working in complex investment vehicle e.g. private equity fund, involves calculating investment participation at cost based on fund management information and investor information

Patent Assignee: GOLDMAN SACHS & CO (GOLD-N)

Inventor: COBRINIK Z; LOGAN E; WALTER A

Patent Family (1 patents, 1 countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| US 7231364 | B1 | 20070612 | US 2001850589 | A | 20010507 | 200756 | B |

Priority Applications (no., kind, date): US 2001850589 A 20010507

Patent Details

| Patent Number | Kind | Lang | Pgs | Draw | Filing Notes |
|---------------|------|------|-----|------|--------------|
| US 7231364 | B1 | EN | 18 | 5 | |

...investment vehicle e.g. private equity fund,
involves calculating investment participation

at cost based on fund management information and investor information **Original Titles:** Methods and systems for **managing investments** in complex **financial investments** **Alerting Abstract ...** The investment participation at cost (IPAC) is calculated using a predetermined formula, based on the **fund management** information relating to the investment vehicle and the investor information. IPAC is used as a... .. working in an investment vehicle; computer program to determine amount of investor money working in **investment** vehicle; investor profile **managing** method; apparatus for managing investor profile; computer program for managing investor profile; apparatus for structuring... .. s investment in a private investment vehicle at any given time. Enables an accurate risk **assessment** of a **portfolio** and facilitates decisions such as whether to buy, sell or hold an investment... **Original Publication Data by Authority** **Argentina** **Publication No. ...** **Claims:** an investment vehicle including at least one investor and multiple investments, comprising the steps of: **receiving fund management information** relating to said investment vehicle; **receiving investor information** relating to an investor; calculating on said computer, using said **fund management** information and said investor information, an IPAC to determine the amount of money working in... .. investments $m_i = \frac{\text{the most recent fair value of the } i\text{th investment}}{\text{the fund's manager}}$ $r_i = \frac{\text{the percentage of the } i\text{th investment of the fund remaining at the time of } \dots \text{ from the } j\text{th investor}}{\text{the total value of called capital awaiting investment plus the aggregate cost of all } n \text{ fund investments.}}$

Dialog eLink: [Order File History](#)

21/3,K/5 (Item 2 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0015832599 *Drawing available*

WPI Acc no: 2006-028147/200603

Related WPI Acc No: 2005-059797; 2005-745558

XRPX Acc No: N2006-024579

Computerized system for automated performance evaluation of organization, calculates total return to shareholders using calculated return on invested capital, weighted average cost of capital and total growth

Patent Assignee: ACCENTURE GLOBAL SERVICES GMBH (ACCE-N)

Inventor: OSTERGARD M K

| Patent Family (2 patents, 109 countries) | | | | | | | |
|--|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| US 20050273404 | A1 | 20051208 | US 2003609690 | A | 20030701 | 200603 | B |
| | | | US 2004903488 | A | 20040802 | | |
| WO 2006013207 | A2 | 20060209 | WO 2005EP53773 | A | 20050802 | 200612 | E |

Priority Applications (no., kind, date): US 2003609690 A 20030701; US 2004903488 A 20040802

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------|-------|-----|-----|------|----------------|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| WO 2006013207 | A2 | EN | | | Patent Details | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Patent Number | Kind | Law | App | Draw | Pub | BB | BG | BR | BW | BY | BZ | CA | CH | CN | CO | CR | CU | DE | DK | DM | DZ | EG | EE | ES | FI | GB | GD | GE | GH | GM | HN | HR | HU | ID | IG | IS | JP |
| Designated | 73404 | A2 | EN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| | |
|---|--|
| States,Original | KE KG KM KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW |
| Regional Designated States,Original | AT BE BG BW CH CY CZ DE DK EA EE ES FI FR GB GH GM GR HU IE IS IT KE LS LT LU LV MC MW MZ NA NL OA PL PT RO SD SE SI SK SL SZ TR TZ UG ZM ZW |

Alerting Abstract ...NOVELTY - The system accesses the information in the **financial** statements of an **organization**. A return on invested capital, weighted average cost of capital and total growth comprising organic... .. USE - For automatically examining **financial** data of organization and **evaluating factors** affecting **organization's stock value**.... .. to determine the relative ability of any single factor or combination of factors to improve **share holder** return, quickly, easily and inexpensively, without requiring high skillOriginal Publication Data by AuthorityArgentina**Publication No. Original Abstracts:**The present invention provides a system and related method for automatically examining a company's **financial** data and **evaluating factors** affecting the **company's stock** value. Specifically, the **present invention evaluates** a company's spread through that company's debt and equity costs. The present invention... .. growth, either organic growth or growth through Mergers and acquisitions. The present invention may further **evaluate** the **financial** data of other **publicly** traded companies, such as those in the same industry, and compares the various factors affecting stock value. Proposed actions **may** then be **evaluated** according to their predicted changes to accounting values and the resulting changes in shareholder value... **Claims:**1. A computer-based system for automated performance evaluation of an organization, the system comprising:**communication** means for accessing **financial** information on the **organization**;a **storage** means for storing **said** accessed **financial** information;an investment return **evaluation** module, said equity **return evaluation** module **receiving** the accessed **financial information** and calculating a first return on invested capital;**an investment costs evaluation** module, said investment costs module **receiving** the accessed **financial information** and **calculating** a first weighted average cost of capital;a growth **estimation** module, said growth estimation module **receiving** the accessed **financial information** and calculating a first total growth comprising a first **organic** growth and a **first** mergers and acquisitions growth; and a economic performance calculation module, said economic performance calculation module...

Dialog eLink: Order File History

21/3,K/6 (Item 3 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0014469981 *Drawing available*

WPI Acc no: 2004-661425/200464

XRPX Acc No: N2004-523731

Goods information processing system has contract information database in server that stores working term of financial products assigned to goods purchased by client

Patent Assignee: BABA K (BABA-I); HITACHI LTD (HITA); KUMAGAI K (KUMA-I); YAKABE H

(YAKA-I); YAMAMOTO R (YAMA-I); YASUNOBU C (YASU-I)

Inventor: BABA K; KUMAGAI K; KUMAGAI T; YAKABE H; YAMAMOTO N; YAMAMOTO R; YASUNOBU C

| Patent Family (2 patents, 2 countries) | | | | | | | |
|--|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| US 20040176972 | A1 | 20040909 | US 2003637039 | A | 20030808 | 200464 | B |
| JP 2004265268 | A | 20040924 | JP 200356515 | A | 20030304 | 200464 | E |

Priority Applications (no., kind, date): JP 200356515 A 20030304

| Patent Details | | | | | |
|----------------|------|-----|-----|------|--------------|
| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes |
| US 20040176972 | A1 | EN | 25 | 18 | |
| JP 2004265268 | A | JA | 19 | | |

Original Publication Data by AuthorityArgentina**Publication No. Original Abstracts:** A service information processing system includes a goods **information** display unit for **retrieving** explanation and a **price** of goods and explanation of financial products and transmitting them to a client terminal; a... ... from a contract information DB by using identification information of the financial products selected by **the** client, and starting **monitoring** whether or not the working term of the financial products is reached; and a good... **Claims:** What is claimed is: **1.** A system for processing information on goods or services for **extracting** a goods **or** a service to be provided to a client from a goods or service group containing... ... working term of said financial products determined for said goods or service group; and a **processing** unit for calculating a post-working amount obtained as a result of **investment of a fund corresponding** to the purchase amount in said selection financial products when said working term is reached...

Dialog eLink: [Order File History](#)

21/3.K/7 (Item 4 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012852918 *Drawing available*

WPI Acc no: 2002-711607/200277

Related WPI Acc No: 2003-419104

XRPX Acc No: N2002-561179

Bond issue administration for municipal taxing authority, involves processing data representing information to determine bond utilization in community, taxes serviced by bond issue, information about real estate and purchaser

Patent Assignee: BRIER D L (BRIE-I); BRIER F N (BRIE-I)

Inventor: BRIER D L; BRIER F N

| Patent Family (1 patents, 1 countries) | | | | | | | |
|--|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| US 6446047 | B1 | 20020903 | US 199884573 | P | 19980507 | 200277 | B |
| | | | US 1999304869 | A | 19990504 | | |

Priority Applications (no., kind, date): US 199884573 P 19980507; US 1999304869 A 19990504

| Patent Details | | | | | |
|----------------|------|------|-----|------|-------------------------------------|
| Patent Number | Kind | Lang | Pgs | Draw | Filing Notes |
| US 6446047 | B1 | EN | 25 | 5 | Related to Provisional US 199884573 |

Original Publication Data by AuthorityArgentina**Publication No. Original Abstracts:**A data processing system for creating and administering a bond issue by a **bond manager** for a municipal taxing authority of a community. The apparatus includes a database configured to store for **retrieval** selected **information** regarding creation and administration of the bond issue, an element for storing and processing data representing... **Claims:**A method of creating and administering a bond issue by a **bond manager for a** municipal taxing authority of a community, comprising the steps of:(a) providing a database configured to store for **retrieval** selected **information** regarding **creation and administration** of the bond issue;(b) storing **and processing** data representing information needed to **determine bond** utilization in the community governed by the municipal taxing authority, said step of storing and processing data comprising the steps of:(i) **analyzing** support for the **bond** issue in the **community**.(ii) forecasting the **length** of time of property ownership,(iii) determining terms for issuance of the bonds,(iv) projecting one or more indicators selected from the **group** consisting of municipality growth, expenditures, tax base, population, inflation and unemployment rates,(v) utilizing the data determined... vi) utilizing the information contained in (i)-(v) to determine an offering price for the **bond**;(c) storing **and processing** data representing information about a specific real estate purchaser, the real estate to be purchased... d) storing and processing data representing information about the condition of the bond issue to **enable** the **bond manager** and the municipal taxing authority to determine the capacity of the municipal taxing authority to repurchase bonds from real estate **sellers**;(e) storing and **processing** data representing taxes serviced by the bond issue;(f) storing and **processing** data **representing** improvements made to the property and whether those improvements require a change in the tax...

Dialog eLink: [Order File History](#)

21/3,K/8 (Item 5 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012799639 *Drawing available*

WPI Acc no: 2002-656249/200270

Related WPI Acc No: 2002-641825

XRPX Acc No: N2002-518708

Measurement acquisition method in distributed systems, involves constructing predictive model including model definition, parameter estimates and input data and managing target system resources using prediction values

Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)

Inventor: HAUS N; HELLERSTEIN J L

| Patent Family (2 patents, 1 countries) | | | | | | | |
|--|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| US 20020099821 | A1 | 20020725 | US 199842060 | A | 19980313 | 200270 | B |
| | | | US 2002109724 | A | 20020329 | | |
| US 6678730 | B2 | 20040113 | US 199842060 | A | 19980313 | 200405 | E |
| | | | US 2002109724 | A | 20020329 | | |

Priority Applications (no., kind, date): US 199842060 A 19980313; US 2002109724 A 20020329

| Patent Details | | | | | | |
|----------------|------|-----|-----|------|-------------------------|--------------|
| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
| US 20020099821 | A1 | EN | 39 | 20 | Division of application | US 199842060 |
| US 6678730 | B2 | EN | | | Division of application | US 199842060 |
| | | | | | Division of patent | US 6430615 |

Original Publication Data by AuthorityArgentina**Publication No. ...Original Abstracts:**in software and an object-oriented implementation is described. Different implementations are described, such as **standalone** predictive models implemented **only** on a manager (for example systems management/load balancing) or managed system (for example router... ... or a parallel implementation with predictive models running on both the manager and managed (agent) **systems** (for **example financial trading** or system **health monitoring**). In a parallel model implementation, the agent constructs a predictive model that is conveyed to... ... in software and an object-oriented implementation is described. Different implementations are described, such as **standalone** predictive models implemented only on a manager (for **example** systems management/load balancing) or managed system (for example router management); or a parallel implementation with predictive models running on both the manager and managed (agent) systems (for example **financial trading** or system **health monitoring**). In a parallel **model** implementation, the agent constructs a predictive model that is conveyed to the manager system. The...

Dialog eLink: [Order File History](#)

21/3,K/9 (Item 6 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012494855 *Drawing available*

WPI Acc no: 2002-442350/200247

XRPX Acc No: N2002-348346

Semi-automated system for computer based application, analyzes element selected from one group using one identified methodology based on which results of independent methodologies applied to selected element are compared

Patent Assignee: REESE J P (REES-I)

Inventor: REESE J P

Patent Family (1 patents, 1 countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| US 6370516 | B1 | 20020409 | US 199842476 | A | 19980316 | 200247 | B |

Priority Applications (no., kind, date): US 199842476 A 19980316

Patent Details

| Patent Number | Kind | Lang | Pgs | Draw | Filing Notes |
|---------------|------|------|-----|------|--------------|
| US 6370516 | B1 | EN | 74 | 40 | |

Original Publication Data by AuthorityArgentina**Publication No.** ...**Claims:**used by evaluation criteria of the methodologies,where the data about the selected elements are **obtained** from a **data** storage means that holds data about a multitude of similar elements,where the data inputs to at least 2 methodologies are independent of the outputs of the other independent methodologies,where the kind of element is selected from the **group** consisting of **securities**, financial products, stocks, bonds, notes, commodities, futures, options, real estate, derivatives, mortgages, insurance, funds, mutual funds, companies, organizations, advisors, analysts, **managers**, people, company **financial** statements, sectors, **industries**, colleges, personal **decisions**, **occupations**, **management decisions**, **market** segments, employees, customers, banks, parts, components, electronic components, products, motors, robots, transistors, and,whereby after a **selection** of at **least** one element for **analysis** occurs, a combination of **of** reports **is** provided for each selected element of the analysis of at least one named methodology applied...

Dialog eLink: [Order File History](#)

21/3,K/10 (Item 7 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0011232614 *Drawing available*

WPI Acc no: 2002-172087/200222

XRPX Acc No: N2002-130791

Process for investment in intellectual property performing financial analysis related to intellectual property investment and making recommendation based upon analysis

Patent Assignee: MARTIN D E (MART-I); WILKINSON W T (WILK-I)

Inventor: MARTIN D E; WILKINSON W T

| Patent Family (3 patents, 93 countries) | | | | | | | |
|---|------|----------|--------------------|------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| WO 2002009011 | A1 | 20020131 | WO 2001US23547 | A | 20010726 | 200222 | B |
| AU 200180815 | A | 20020205 | AU 200180815 | A | 20010726 | 200236 | E |
| US 20020099637 | A1 | 20020725 | US 2000220873 | P | 20000726 | 200254 | E |
| | | | US 2001915685 | A | 20010726 | | |

Priority Applications (no., kind, date): US 2000220873 P 20000726; US 2001915685 A 20010726

| Patent Details | | | | | | |
|-------------------------------------|--|-----|-----|------|------------------------|---------------|
| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
| WO 2002009011 | A1 | EN | 29 | 2 | | |
| National Designated States,Original | AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW | | | | | |
| Regional Designated States,Original | AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW | | | | | |
| AU 200180815 | A | EN | | | Based on OPI patent | WO 2002009011 |
| US 20020099637 | A1 | EN | | | Related to Provisional | US 2000220873 |

Process for investment in intellectual property performing financial analysis related to intellectual property investment and making recommendation based upon analysis Original Titles: Intellectual property investment processINTELLECTUAL PROPERTY INVESTMENT PROCESS

Alerting Abstract ...NOVELTY - The process involves providing an accounting for an intellectual property investment. A valuation is provided w.r.t the intellectual property investment. **Financial analysis** is performed related to the intellectual property investment and a recommendation is made based upon the financial analysis. The investment is managed based upon the accounting, valuation and analysis for the investment... ..USE - For management of investment in intellectual property assets... ..ADVANTAGE - Process takes into account factors unique to IP to achieve desired investment objectives... Original Publication Data by Authority Argentina Publication No. Original

Abstracts: A process for investment in intellectual property, comprising providing an accounting for an intellectual property investment; providing a valuation with respect to the intellectual property investment; performing financial analysis related to the intellectual property investment and making a recommendation based upon the financial analysis; and managing the investment based upon the accounting, valuation, and analysis for the investment. The financial analysis includes computing one or more financial ratios or indices, comparing financial information relating to the IP investments to one or more... .. and making a financial transaction recommendation with respect to the IP investment. The analysis and recommendation process may stand alone or may be used in conjunction with pre-existing, non-IP-based securities analysis and recommendation/estimation processes. A process

for **investment** in intellectual property, comprising providing an **accounting** for an intellectual property investment; providing a valuation with respect to the intellectual property investment; performing **financial analysis** related to the intellectual property investment and **making a** recommendation based upon the **financial analysis**; and **managing** the **investment** based upon the **accounting, valuation, and analysis for the investment**. The **financial analysis** includes computing **one** or more **financial ratios or indices**, comparing **financial** information relating to the IP investments to one or more other IP investments, and making a financial transaction recommendation with respect to the IP investment. **The analysis** and recommendation **process** may **stand alone** or may be used in conjunction with **pre-existing, non-IP-based securities analysis** and recommendation/estimation processes (figure 1 and 2). **Claims:** What is claimed: **1. A process for investment** in intellectual property, the **process** comprising **the steps of:** (a) providing an **accounting** for an intellectual property **investment**; (b) providing a valuation with respect to the intellectual property investment; (c) performing **financial analysis** related to the intellectual property investment and making a recommendation based upon the **financial analysis**; and (d) **managing the investment based** upon the accounting, valuation, and **analysis for the investment**.

Dialog eLink: [Order File History](#)

21/3,K/11 (Item 8 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0010705435 *Drawing available*

WPI Acc no: 2001-315826/200133

XRPX Acc No: N2001-227026

Financial data processing system for securities or commodities for traders, involves integrating order information into single order book and distributing and displaying combined order book to traders

Patent Assignee: LAVA TRADING INC (LAVA-N); LAVA TRADING LLC (LAVA-N); RUBBER TRADING INC (RUBB-N)

Inventor: CHUTJIAN K P; KORHAMMER R A; RAFIEYAN K L

| Patent Number | | Kind | | Date | | Application Number | | Kind | | Date | | Update | | Type | |
|---------------|----|----------|--|----------------|---|--------------------|--|--------|---|------|--|--------|--|------|--|
| WO 2000063814 | A1 | 20001026 | | WO 2000US10803 | A | 20000420 | | 200133 | B | | | | | | |
| AU 200044803 | A | 20001102 | | AU 200044803 | A | 20000420 | | 200133 | E | | | | | | |
| US 6278982 | B1 | 20010821 | | US 1999296096 | A | 19990421 | | 200150 | E | | | | | | |
| EP 1218834 | A1 | 20020703 | | EP 2000926242 | A | 20000420 | | 200251 | E | | | | | | |
| | | | | WO 2000US10803 | A | 20000420 | | | | | | | | | |
| JP 2002542543 | W | 20021210 | | JP 2000612863 | A | 20000420 | | 200301 | E | | | | | | |
| | | | | WO 2000US10803 | A | 20000420 | | | | | | | | | |
| JP 2005202977 | A | 20050728 | | JP 2000612863 | A | 20000420 | | 200550 | E | | | | | | |

Priority Applications (no., kind, date): US 1999296096 A 19990421

Patent Details

| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
|-------------------------------------|---|-----|-----|------|-------------------------|----------------|
| WO 2000063814 | A1 | EN | 29 | 9 | | |
| National Designated States,Original | AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW | | | | | |
| Regional Designated States,Original | AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW | | | | | |
| AU 200044803 | A | EN | | | Based on OPI patent | WO 2000063814 |
| EP 1218834 | A1 | EN | | | PCT Application | WO 2000US10803 |
| | | | | | Based on OPI patent | WO 2000063814 |
| Regional Designated States,Original | AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI | | | | | |
| JP 2002542543 | W | JA | 34 | | PCT Application | WO 2000US10803 |
| | | | | | Based on OPI patent | WO 2000063814 |
| JP 2005202977 | A | JA | 16 | | Division of application | JP 2000612863 |
| CA 2370789 | C | EN | | | PCT Application | WO 2000US10803 |
| | | | | | Based on OPI patent | WO 2000063814 |

Financial data processing system for securities or commodities for traders, involves integrating order information into single order book and distributing and displaying combined order book to traders ...Original Titles:The financial data-processing method... **Alerting Abstract ...NOVELTY -** A data communication unit **receives** order **information** from each participating alternate trading system. A converter converts the protocol of each communication unit... ..order information from each alternative trading system into a single order book and distributes the **combined** order book to **traders** , which is then displayed. **DESCRIPTION -** An **INDEPENDENT CLAIM** is also included for **financial data processing method...** ...**USE -** For computer accessible trading system for trading and **analyzing securities** such as **stocks**, bonds, commodities, etc., and for integrating securities, trading information and order placement from electronic communication... ..**DESCRIPTION OF DRAWINGS -** The figure shows the diagrammatical representation of **financial data processing** system. Original Publication Data by AuthorityArgentina**Publication No. ...Original Abstracts:**in combination with one or more electronic exchanges. A consolidating computer system (100) supplies the **market** information and **processes** the transactions. The consolidating computer system (100) aggregates order book information from each participating ECN... ..customer browses and analyzes securities market information at the single transaction terminal 101, and a **securities trading** integrative system **combines** it with two or the

electronic-communications network of more, and an another equivalent alternative... FIG. 2This invention is related to the computer system for the transaction of the selected **securities**, and an **analysis**. Specifically, It relates to the **financial data-processing** method which collects and integrates the securities trading information and purchase order work from various... or in combination with one or more electronic exchanges. A consolidating computer system supplies the **market** information and **processes** the transactions. The consolidating computer system aggregates order book information from each participating ECN order... in combination with one or more electronic exchanges. A consolidating computer system (100) supplies the **market** information and **processes** the transactions. The consolidating computer system (100) aggregates order book information from each participating ECN... **Claims:** In the **financial data-processing** method which supplies the security of one or more, and the transaction information of goods... common for the security of one or more, or goods to a transaction person, The **financial data-processing** method characterized by containing the step which displays said order duplicate/bracket/strut integrated on... A **financial data processing** system for securities or commodities for traders which integrates order book information from two or... trading systems comprising: at least two alternative trading systems having different order book information protocols; **data** communication means to **receive information** from each participating alternative trading system to allow receipt of their order book information in... trading system data communications means into a single order book; means for distributing the resulting **combined** order book to **traders** in the common order book information protocol; and display means for displaying said order book...

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21/3,K/12 (Item 9 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0010698145 *Drawing available*

WPI Acc no: 2001-308297/200132

XRPX Acc No: N2001-220626

Investment strategy creating method for interactive strategy using computer system, for identifying financial objective and current investments and assets for determining investment strategy

Patent Assignee: AMERICAN CENTURY SERVICES CORP (AMCE-N)

Inventor: MERK R; PARK C; SHEARER M; TYLER J

Patent Family (2 patents, 91 countries)

| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
|---------------|------|----------|--------------------|------|----------|--------|------|
| WO 2001027844 | A1 | 20010419 | WO 2000US28208 | A | 20001012 | 200132 | B |
| AU 200080149 | A | 20010423 | AU 200080149 | A | 20001012 | 200147 | E |

Priority Applications (no., kind, date): US 1999159255 P 19991013; US 2000200726 P 20000427

| WO 2001027844 | A1 | EN | 72 | 28 | Patent Details |
|---------------|------|----------|--------|----------|----------------|
| Patent Number | Kind | Language | Pub No | Drawings | File No |
| WO 2001027844 | A1 | EN | 72 | 28 | Patent Details |

| | | | | | | | | | | |
|-------------------------------------|--|----|--|--|---------------------|--|--|--|--|---------------|
| Designated States,Original | DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW | | | | | | | | | |
| Regional Designated States,Original | AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW | | | | | | | | | |
| AU 200080149 | A | EN | | | Based on OPI patent | | | | | WO 2001027844 |

Original Titles: INVESTMENT ANALYSIS AND MANAGEMENT SYSTEM FOR GENERATING FINANCIAL ADVICE... **Alerting Abstract** ...tolerance and various investments are selected. Future returns are simulated and combined to propose a **m**ix of **i**nvestments reasonably believed to meet the goal at the horizon. INDEPENDENT CLAIMS are included for; a... ..USE - **I**nvestment analysis and **m**anagement system for generating **f**inancial advice... Original Publication Data by AuthorityArgentina**Publication No. Original Abstracts:** A system and method for determining an optimum investment portfolio includes a **c**omputerized data **p**rocessing system that is linked to one or more databases where data on various financial **i**nvestments is **o**btained, **a**nnnotated, weighted and **e**valuated for use by a simulation program for selection of risk appropriateness based on user input... .. current investment portfolio, if any, data on risk tolerance, and various investments are selected, future **r**eturns simulated, and **c**ombined to propose a **m**ix of **i**nvestments reasonably **b**elieved to **m**eeet the goal at the horizon.... .. sa tolerance aux risques, on selectionne divers investissements et leurs rentabilite future que l'on **c**ombine pour proposer un **m**ix d'**i**nvestissements devant raisonnablement **p**ermettre d'atteindre l'**o**bjectif recherche a l'horizon choisi.

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21/3,K/13 (Item 10 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0008788300 *Drawing available*

WPI Acc no: 1998-332700/199829

XRPX Acc No: N1998-259718

Financial data processing system using artificial neural network for developing investment portfolio associated with domestic or foreign capital markets - utilise several neural network units for estimating appreciation potential of separate individual security using corresponding data for adjusting their individual weights

Patent Assignee: ADVANCED INVESTMENT TECHNOLOGY INC (ADIN-N)

Inventor: BARR D S; MANI G

| US 5761442 | A | 19980621 | By 1994298905 | 1 countries | 19940831 | 199829 | B |
|---------------|------|----------|--------------------|-------------|----------|--------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |

Priority Applications (no., kind, date): US 1994298905 A 19940831

Patent Details

| Patent Number | Kind | Lang | Pgs | Draw | Filing Notes |
|---------------|------|------|-----|------|--------------|
| US 5761442 | A | EN | 19 | 7 | |

Financial data processing system using artificial neural network for developing investment portfolio associated with domestic or foreign capital... Original Publication Data by Authority Argentina **Publication No. ...Original Abstracts:** of fundamental and price and volume history input parameters about the security and the underlying **index**. The system **combines** the expected return/appreciation potential data for each security via an optimization **process** to construct an **investment** portfolio which satisfies **predetermined aggregate** statistics. The **data** processing system **receives input** from the **capital market** and periodically evaluates the performance of **the investment portfolio**, rebalancing it whenever necessary to correct performance degradations. ...**Claims:** period of time is superior to the performance of the selected index; and means for **receiving information** about the participating securities.

Dialog eLink: [Order File History](#)

21/3,K/14 (Item 11 from file: 350)

DIALOG(R) File 350: Derwent WPIX

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0007305177 *Drawing available*

WPI Acc no: 1995-366494/199547

XRPX Acc No: N1995-271173

Data processing system for administering financial debt instrument - receives input from capital market and periodically evaluates performance of financial debt instrument and reports price to customers

Patent Assignee: FOX J V (FOX-J); KARSENTY M J (KARS-I); MORGAN STANLEY DEAN WITTER (MORG-N); MORGAN STANLEY GROUP INC (MORG-N); TULL R S (TULL-I); WEISBERGER D M (WEIS-I)

Inventor: FOX J V; FOX J V H; KARSENTY M J; TULL R S; WEISBERGER D M

| | | Patent Family | | US 1994298905 A 19940831 | | 19990517 | |
|---------------|------|---------------|--------------------|--------------------------|----------|----------|------|
| Patent Number | Kind | Date | Application Number | Kind | Date | Update | Type |
| WO 1995027945 | A1 | 19951019 | WO 1995027945 | A | 19950405 | 199547 | B |
| AU 199522411 | A | 19951030 | AU 199522411 | A | 19950405 | 199606 | E |
| US 5946667 | A | 19990831 | US 19990831 | A | 20000718 | 199942 | E |
| | | | US 1998074125 | A | 20000906 | | |
| US 6092056 | A | 20000718 | US 1994223797 | A | 19940406 | 200037 | E |
| | | | US 199871437 | A | 19980501 | | |

Priority Applications (no., kind, date): US 1994223797 A 19940406; US 199871437 A 19980501; US 1999313155 A 19990517; US 2000617646 A 20000717; US 2003673125 A 20030926

| Patent Details | | | | | | |
|--------------------------------------|---|-----|-----|------|-----------------------------|---------------|
| Patent Number | Kind | Lan | Pgs | Draw | Filing Notes | |
| WO 1995027945 | A1 | EN | 60 | | | |
| National Designated States, Original | AM AU BB BG BR BY CA CN CZ EE FI GE HU IS JP KE KG KR KZ LK LR LT LV MD MG MN MW MX NO NZ PL RO RU SD SG SI SK TJ TT UA UZ VN | | | | | |
| Regional Designated States, Original | AT BE CH DE DK ES FR GB GR IE IT KE LU MC MW NL OA PT SD SE SZ UG | | | | | |
| AU 199522411 | A | EN | | | Based on OPI patent | WO 1995027945 |
| US 5946667 | A | EN | | | Continuation of application | US 1994223797 |
| US 6092056 | A | EN | | | Continuation of application | US 1994223797 |
| | | | | | Continuation of application | US 199871437 |
| | | | | | Continuation of patent | US 5946667 |
| US 20040073506 | A1 | EN | | | Continuation of application | US 1994223797 |
| | | | | | Continuation of application | US 199871437 |
| | | | | | Continuation of application | US 1999313155 |
| | | | | | Continuation of application | US 2000617646 |
| | | | | | Continuation of patent | US 5946667 |
| | | | | | Continuation of patent | US 6092056 |

Data processing system for administering financial debt instrument... ..receives input from capital market and periodically evaluates performance of financial debt instrument and reports price to customers Alerting Abstract ...The **financial management** structure (8) links capital markets (1) and investors (5), who wish to participate in one... ..the stock market of different countries or an index associated with the performance of the **markets**. Pref the **financial management** structure (8) includes a modelling system (3), financial debt instruments (10) traded to investors as... ..which represents a particular capital market. The selection is made using a programming function which **receives** and stores **data** about stock in the capital market, correlates the available data with economic forecast models to... Original Publication Data by AuthorityArgentina**Publication No. Original Abstracts:**A data processing system and method is disclosed for implementing and **control of a financial instrument** which is **issued** for a limited period of time. The instrument is based on an underlying basket of... .. track an established capital market and its price also reflects accrued investment income and maintenance **expenses**. The **data processing** system receives **input from the capital market** and periodically evaluates the performance of **the financial instrument**, reporting its price to customers. Also disclosed is a data processing system for administering **an investment group** of such **instruments designed** to track

the performance of several domestic and foreign markets, estimate their return and provide... ... A data processing system and method is disclosed for implementing and **control of a financial debt instrument** which is issued **for a limited period** of time and is traded as a listed security. The debt instrument is based on... ... established capital market and its price also reflects accrued investment income and maintenance expenses. The **data processing system receives input** from the capital **market and periodically evaluates the performance** of the **financial debt instrument**, reporting **its price to customers**. Also **disclosed** is a data **processing system for administering an investment group** of such **debt instruments** designed to track **the performance** of several domestic and foreign markets, estimate their return and provide current price information to... ... A data processing system and method is disclosed for implementing and **control of a financial instrument** which is issued for a **limited period of time**. The instrument is based on an underlying basket of stocks optimally selected to track an established capital market and its price also reflects accrued investment income and **maintenance expenses**. The **data processing system receives input** from the capital **market and periodically evaluates the performance** of the financial instrument, reporting its price to customers. Also disclosed is a data **processing system for administering an investment group** of such instruments designed to track the performance of **several domestic and foreign markets**, estimate their return and provide current price information to customers... ... A data processing system and method is disclosed for implementing and **control of a financial debt instrument** which is listed for a limited period of **time** and is **traded** as a listed security (20). The debt instrument is based on an underlying basket of... ... capital market (1) and its price also reflects accrued investment income and maintenance expenses. The **data processing system receives input** from the capital market and periodically evaluates the performance of **the financial debt instrument**, reporting its price to customers (5). Also disclosed is a data **processing system for administering an investment group** of such debt instruments designed to track the performance of several domestic **and foreign markets**, estimate their return and provide current price information to customers. ...**Claims:**the sorted securities of the given time;computing an average volatility measure associated with a **select group of securities**;comparing the average volatility measure of the select **group of securities to a predetermined constant**, wherein said constant is about 1;based on the comparison, **modifying the composition** of the select **group of securities** and repeating the steps of computing and comparing until a basket of **securities** is selected for **which the average** volatility measure substantially matches the predetermined constant;computing a price measure associated with the basket of **securities**;**monitoring** the price measure associated with the basket of securities over the predetermined period of time from the given initial **time**; andperiodically **adjusting** the composition of the basket of securities based on a comparison of the monitored price... ... which provides, within a predetermined limited period of time, a return commensurate with an established **capital market**, the method comprising the steps of:selecting a basket of shares of one or more... ... of the debt instrument is based upon the value of the underlying basket of shares;**receiving trade information** on shares of said one or more securities of the selected basket of shares;determining a price for the debt instrument in response to the **received information** so as to reflect the current **aggregate value of the basket of shares and income and expenses** associated therewith; andcommunicating said price to potential customers.... ... **one or more securities the return performance of which is representative of the returns of the capital market over the limited period of time**;generating a basket of shares of said **one or more selected securities**, said basket of shares defining the financial instrument;**receiving trade information** on shares of said one or more securities of the selected basket of shares; **anddetermining a price for the instrument in response to the received information so as to reflect the current aggregate value of the basket of shares and income and expenses** associated therewith.

?

V. Additional Resources Searched

Fuji Xerox, Sybase in data warehouse deal; [2 Edition]

KING, Dave. Dominion. Wellington, New Zealand: Aug 25, 1997.

Abstract (Summary)

The Sybase IQ data warehouse has been chosen by Fuji Xerox to extract, compile and analyse the information held in its legacy systems. It is being used in conjunction with Panorama, a financial system analysis tool.

» [Jump to indexing \(document details\)](#)

Full Text (164 words)

Copyright Independent Newspapers, Ltd. Aug 25, 1997

SOFTWARE maker Sybase has scored a deal with copier company Fuji Xerox to manage the information held in its legacy systems.

The Sybase IQ data warehouse has been chosen by Fuji Xerox to extract, compile and analyse the information held in its legacy systems. It is being used in conjunction with Panorama, a financial system analysis tool.

"Every day we need more and more information to do our business and get it done in a timely and effective manner," says Fuji Xerox spokesman Richard Johnstone.

The company liked IQ's indexing technology, its scalability, and Sybase's fixed price and delivery time, he says. "But the bottom line was the real business advantage it gave us."

Managers can now instantly get a range of critical information that may have taken days to acquire using the old system, he says. "They can also see things they have never seen before," he says.

"It doesn't take an Einstein to see the benefits the system brings to our business."

The MCIF - a primer

Anonymous. CTS Accounting Software Survey. Jan 1991. Vol. 1, Iss. 1; pg. 3

Abstract (Summary)

A marketing customer information file (MCIF) holds household and account information on personal computer files and generally has a separate software package that permits marketers to sort and analyze customer data easily. When choosing an MCIF system, a financial marketer should evaluate carefully the product's householding procedure, taking into consideration extract preparation, processing location, turn-around time, householding routine, scrubbing, updating, and appending additional information. MCIF packages should include both sorting and reporting software, and may also include software for direct mail lists and tracking, profitability analysis, and sales and telemarketing tracking. Most MCIFs operate on IBM compatible personal computers with at least a 286 processor. The costs of an MCIF include householding and software costs and installation fees.

Investment Management: Closing the Data Gap

Gustelle, Barbara J., Insurance Software Review. Indianapolis: Apr/May 1989. Vol. 14, Iss. 2; pg. 37, 12 pgs

Abstract (Summary)

While the explosion of new products over the past few years has provided insurance firms and other institutional investors with more options for managing their portfolios, the faster pace of the market has simultaneously forced decision making to accelerate. Industrywide emphasis on providing better investment data is increasing. However,

some obstacles must be overcome, such as the antiquated securities accounting systems that are the primary data source for many insurance investment divisions. The first step in getting control of investment data is a critical evaluation of existing systems that, even when flexible enough to handle new instruments, still may not resolve the issue of data control and delivery. The creation of an "asset master" would provide standard maintenance and research functions as well as automatic interfaces to external data sources and internal systems. A portfolio management system product list is included.